BSE Limited

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Unique Client Code
User Manual

Version 2.0*

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Project Code	UCC
Project Name	BSE UCC System
Account	BSE Limited
Vertical	Financial Services
Location	Mumbai
Customer Name	BSE Ltd.
Technical Manager/ Email ID	
Project Manager / Email ID	
Quality Co-ordinator / Email ID	
Customer Contact Information	

Revision History

Version (x.yy)	Date of Revision	Description of Change	Reason for Change	Affected Sections	Approved By
1.0	Jan. 02, 2007	Initial			
2.0	Apr. 12, 2013	Changes to accept additional fields as specified by SEBI	SEBI Compliance	Add, Modify, Download, Batch Upload	

Affected Groups

BSE Members/Brokers
SEBI EOD File
BOSSi EOD File

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1. Introduction

Securities and Exchange Board of India (SEBI) made it mandatory for all members to use Unique Client Code (UCC) for all clients in the cash market. SEBI has also made it mandatory for all members of the derivative segment to use unique client code for all clients in the derivatives market.

Members will allot a client code for each segment to each of his clients including the clients of his sub-brokers, which is unique (the same code will not be allotted to any other client in his office or at branches or to the clients of sub-brokers).

2. https://ucc.bseindia.com

In order to facilitate the members to register the Unique Client Code (UCC) details one needs to access the site i.e., https://ucc.bseindia.com. In order to use the UCC module for new members/users, members/users needs to approach their respective Relationship Managers to allow them provide you the username to access the UCC system. Once, the registration is done, the member/users will receive necessary login name and password to access the site through e-mail to the respective mailing address provided by the user in the registration form.

3. UCC registration

The client code (UCC) registration facility will be available through Broker Administration Terminal (BAT) on 24x7 basis irrespective of the trading hours and holidays.

Members can allot a client code to each of his clients including the clients of his sub-brokers. The client code should be unique (the same code should not be allotted to any other client in his office or at branches or to the clients of sub-brokers for a segment)

The member should ensure their registration as a user in UCC system before availing the client detail registration facility. The main member/broker has the option of creating various BAT users for the branches/sub-brokers operating under the member/broker for uploading of client details.

The member (BAT) and his related BAT users are allowed to add/modify the UCC details:

- the main member can add/modify the UCC details for all clients (directly under him and also of various BAT users registered under him).
- The respective BAT users registered under a main member/broker can add/edit/update UCC details for their own investors/clients only.

Deregistration of UCC is not allowed.

Registering a new Unique Client Code (UCC) :

3.1 User Login

The member brokers are requested to use the username & password (as received through e-mail during the registration of member/broker process) for initiating the registration of client code. Member brokers should invoke Internet Explorer browser and using URL https://ucc.bseindia.com to login into the UCC module. The Login screen will appear as under :

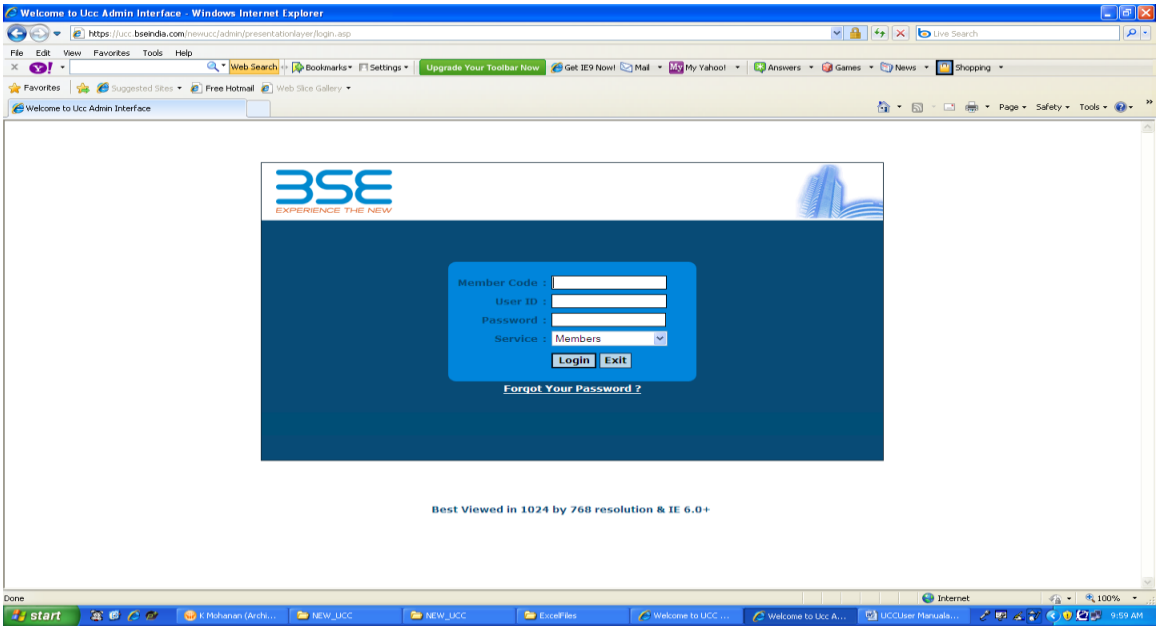


Figure 1

Please use the Member Code, User ID & Password (as received thru e-mail during your registration as a broker member) and press "Login" button. On the first successful login, the system prompts for the new password which needs to be entered by the member. After login in to the UCC system, the members could view the following screen as given below :

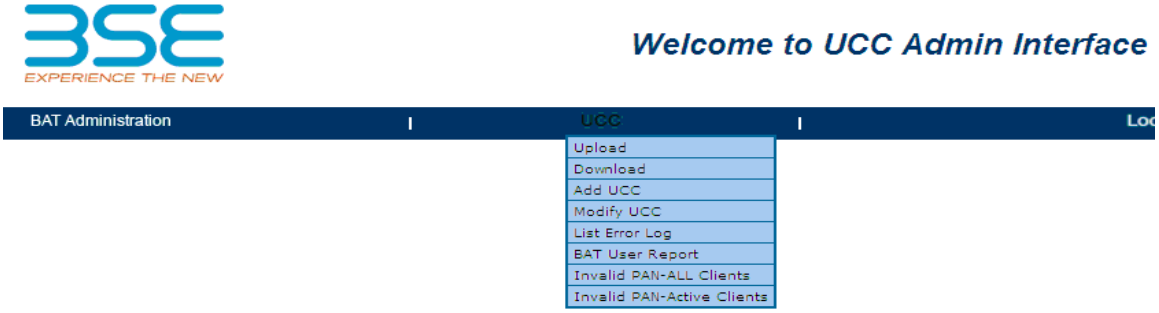


Figure 2

The above screen shows the first page after the members logs in to the site. Member can view the UCC tab on the top panel. On clicking on the UCC tab, the dropdown list is shown as mentioned in the figure above. The UCC tab gives the Upload , Download, Add UCC, Edit UCC, List Error Log and BAT User Report option for the BAT, i.e., the main member. The detailed description of the option is given below :

3.2 Upload Option

The UCC Upload Option is a batch upload facility whereby the members have to generate batch files in the prescribed format provided by BSE (given in Manual below) and upload the same using this option. The file upload procedure is described as under :

Step 1 :

Select **UCC-> Upload** from the main menu

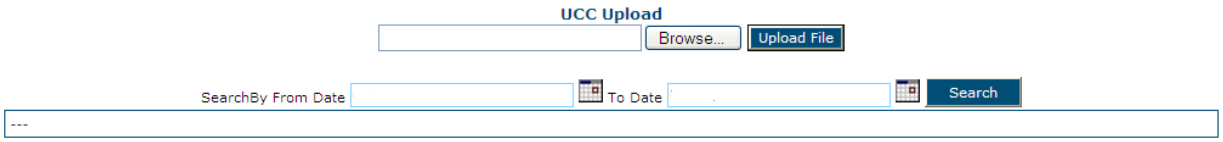


Figure 3

Step 2 :

Click on **"Browse"** Button and following screen is displayed.

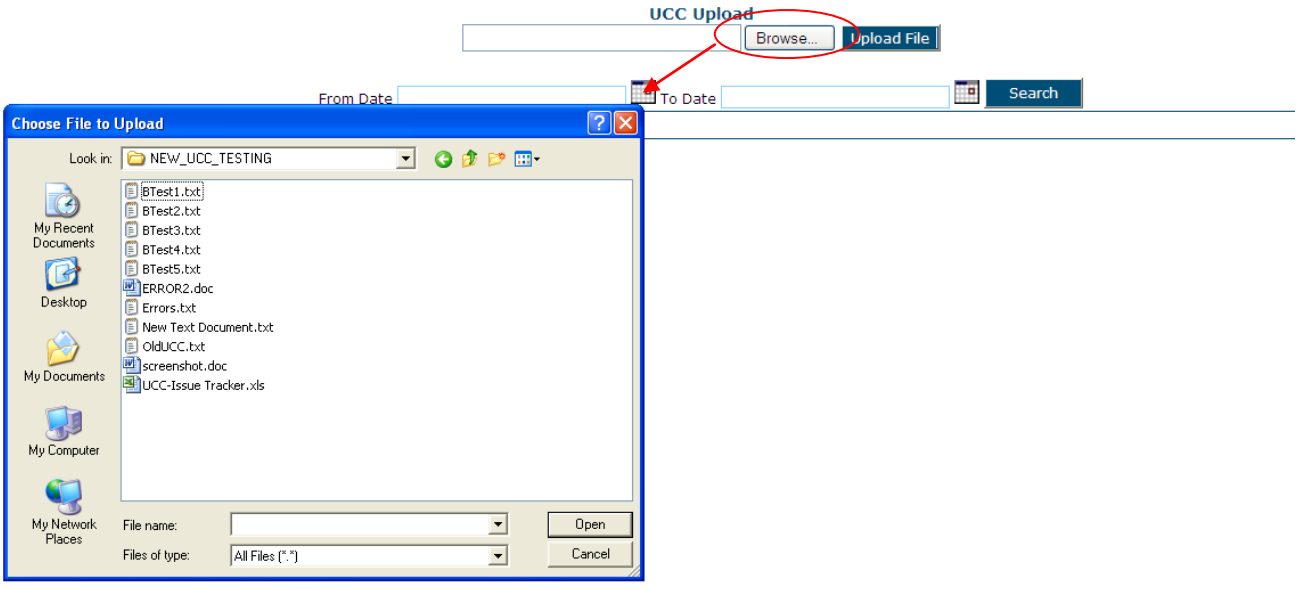


Figure 3.1

Step 3 :

Select the file (only .txt file allowed as per the prescribed format) to be uploaded. Click on **"Open"** button.

Step 4 :

The name with its entire path is displayed in the text area of the Upload Screen.

Step 5 :

On selecting the file to be uploaded, the member needs to click on the "Upload File" button besides the 'Browse' button. On clicking the 'Upload File' button, the file goes through basic file validation like delimiter, file extension etc. and uploads the same to system. However, the file is not processed in the UCC system. On clicking the "Upload File" button, the system displays a message **"File Uploaded successfully, Please click on "Submit" button to process the file"** as shown in Figure 3.2.

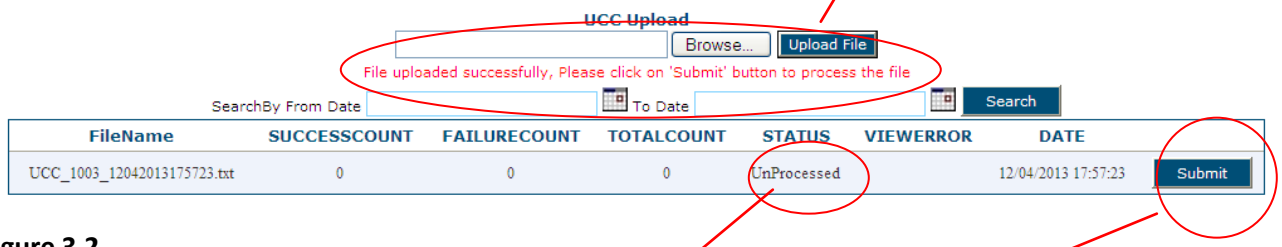


Figure 3.2

After uploading the file, it is still in the "Unprocessed" state. The member needs to click on the "Submit" button to process the file. All the files uploaded by the user for the day will be displayed so as to allow the member to process the file using the 'Submit' button.

On clicking on the 'Submit' button, the file status changes to 'Processed' and data is successfully inserted. If the file is processed successfully, then Success Count and Total Count will match and the data is successfully inserted in the UCC system. However, in case of any error, the Failure Count will display the count of records failed and the ViewError column will display the link "ViewError" as shown in the Figure 3.3 , which when clicked will download the Error.

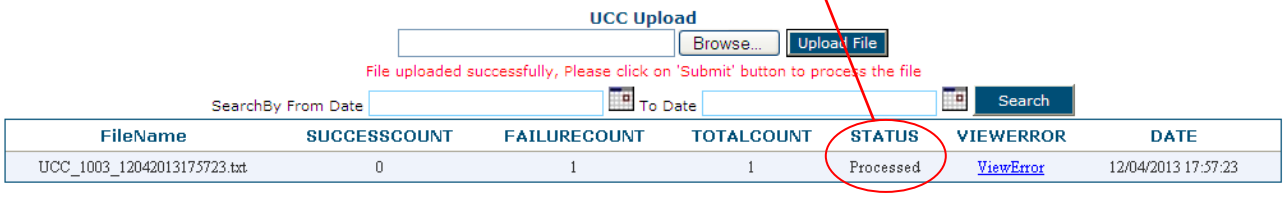


Figure 3.3

Step 6 :

On clicking the ViewError link the member is prompted to open or save the file as shown in Figure 3.4 below.

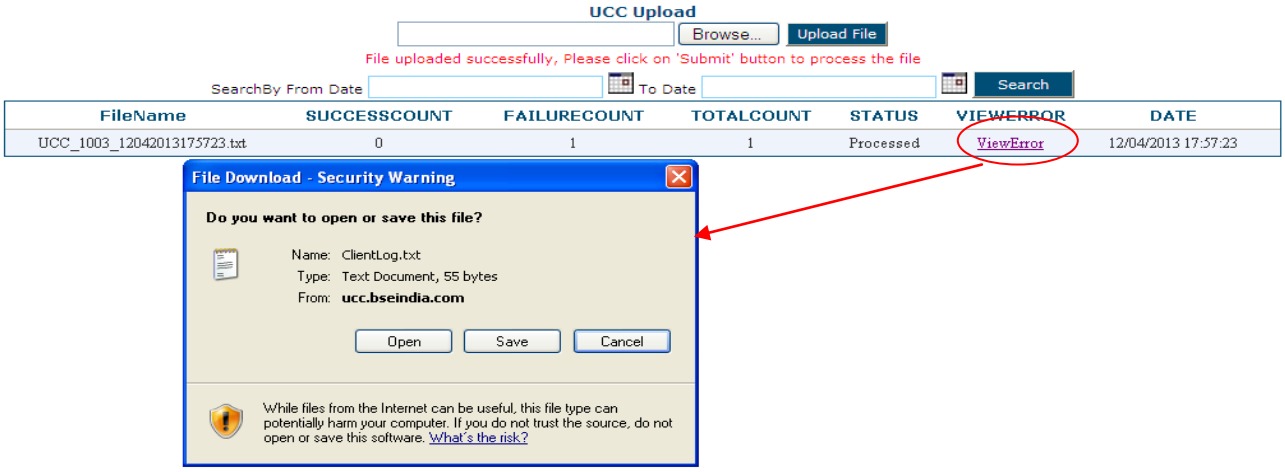
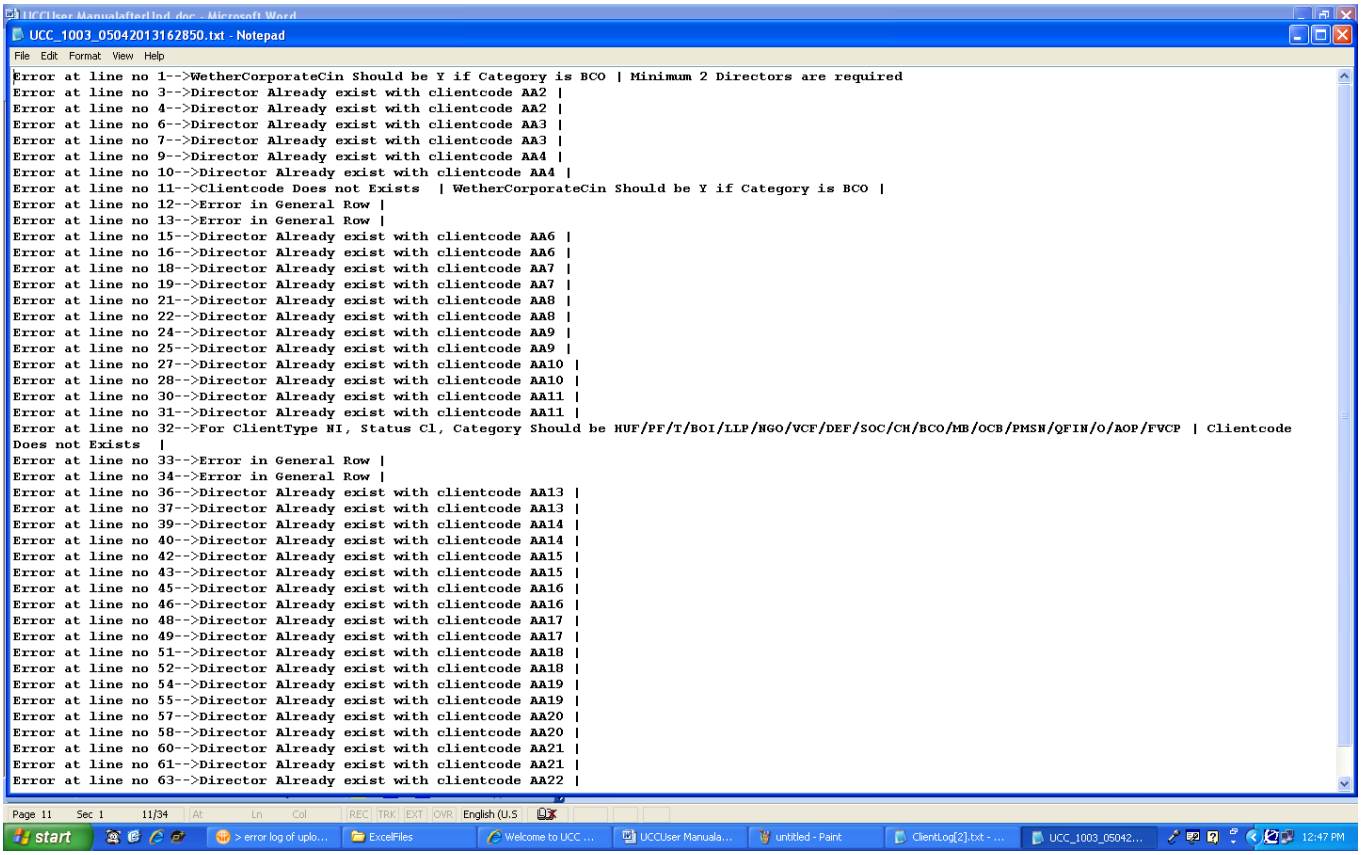


Figure 3.4.

On clicking the 'Open' button, the file displays the line-wise error and reasons of the failure of the record while processing. The sample error file is shown below in figure 3.5.


UCC_1003_05042013162850.txt - Notepad
File Edit Format View Help
Error at line no 1-->WetherCorporateCin Should be Y if Category is BCO | Minimum 2 Directors are required
Error at line no 3-->Director Already exist with clientcode AA2 |
Error at line no 4-->Director Already exist with clientcode AA2 |
Error at line no 6-->Director Already exist with clientcode AA3 |
Error at line no 7-->Director Already exist with clientcode AA3 |
Error at line no 9-->Director Already exist with clientcode AA4 |
Error at line no 10-->Director Already exist with clientcode AA4 |
Error at line no 11-->Clientcode Does not Exists | WetherCorporateCin Should be Y if Category is BCO |
Error at line no 12-->Error in General Row |
Error at line no 13-->Error in General Row |
Error at line no 15-->Director Already exist with clientcode AA6 |
Error at line no 16-->Director Already exist with clientcode AA6 |
Error at line no 18-->Director Already exist with clientcode AA7 |
Error at line no 19-->Director Already exist with clientcode AA7 |
Error at line no 21-->Director Already exist with clientcode AA8 |
Error at line no 22-->Director Already exist with clientcode AA8 |
Error at line no 24-->Director Already exist with clientcode AA9 |
Error at line no 25-->Director Already exist with clientcode AA9 |
Error at line no 27-->Director Already exist with clientcode AA10 |
Error at line no 28-->Director Already exist with clientcode AA10 |
Error at line no 30-->Director Already exist with clientcode AA11 |
Error at line no 31-->Director Already exist with clientcode AA11 |
Error at line no 32-->For ClientType NI, Status Cl, Category Should be HUF/PF/T/BOI/LLP/NGO/VCF/DEF/SOC/CH/BCO/MB/OCB/PMSN/QFIN/O/AOP/FVCP | Clientcode Does not Exists |
Error at line no 33-->Error in General Row |
Error at line no 34-->Error in General Row |
Error at line no 36-->Director Already exist with clientcode AA13 |
Error at line no 37-->Director Already exist with clientcode AA13 |
Error at line no 39-->Director Already exist with clientcode AA14 |
Error at line no 40-->Director Already exist with clientcode AA14 |
Error at line no 42-->Director Already exist with clientcode AA15 |
Error at line no 43-->Director Already exist with clientcode AA15 |
Error at line no 45-->Director Already exist with clientcode AA16 |
Error at line no 46-->Director Already exist with clientcode AA16 |
Error at line no 48-->Director Already exist with clientcode AA17 |
Error at line no 49-->Director Already exist with clientcode AA17 |
Error at line no 51-->Director Already exist with clientcode AA18 |
Error at line no 52-->Director Already exist with clientcode AA18 |
Error at line no 54-->Director Already exist with clientcode AA19 |
Error at line no 55-->Director Already exist with clientcode AA19 |
Error at line no 57-->Director Already exist with clientcode AA20 |
Error at line no 58-->Director Already exist with clientcode AA20 |
Error at line no 60-->Director Already exist with clientcode AA21 |
Error at line no 61-->Director Already exist with clientcode AA21 |
Error at line no 63-->Director Already exist with clientcode AA22 |
start

Step 7 :

On successful of processing of the file, the system display the "SuccessCount" with the number of records inserted in the system. The screen shot is shown below a Figure 3.5.

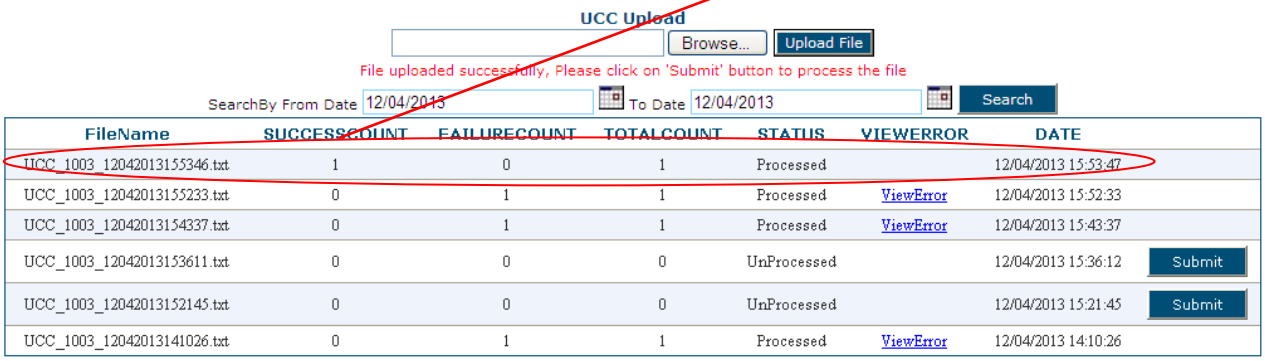

UCC Upload
Browse...
Upload File
File uploaded successfully, Please click on 'Submit' button to process the file
SearchBy From Date 12/04/2013
To Date 12/04/2013
Search
FileName SUCCESSCOUNT FAILURECOUNT TOTALCOUNT STATUS VIEWERROR DATE
UCC_1003_12042013155346.txt 1 0 1 Processed 12/04/2013 15:53:47
UCC_1003_12042013155233.txt 0 1 1 Processed ViewError 12/04/2013 15:52:33
UCC_1003_12042013154337.txt 0 1 1 Processed ViewError 12/04/2013 15:43:37
UCC_1003_12042013153611.txt 0 0 0 UnProcessed 12/04/2013 15:36:12 Submit
UCC_1003_12042013152145.txt 0 0 0 UnProcessed 12/04/2013 15:21:45 Submit
UCC_1003_12042013141026.txt 0 1 1 Processed ViewError 12/04/2013 14:10:26

Figure 3.5

The members also has the option of viewing/downloading/processing historical dates files by searching the files on the basis of the Date. The member needs to input the "From Date" and "To Date" and click on the "Search" button to retrieve the historical files loaded as shown in Figure 3.5

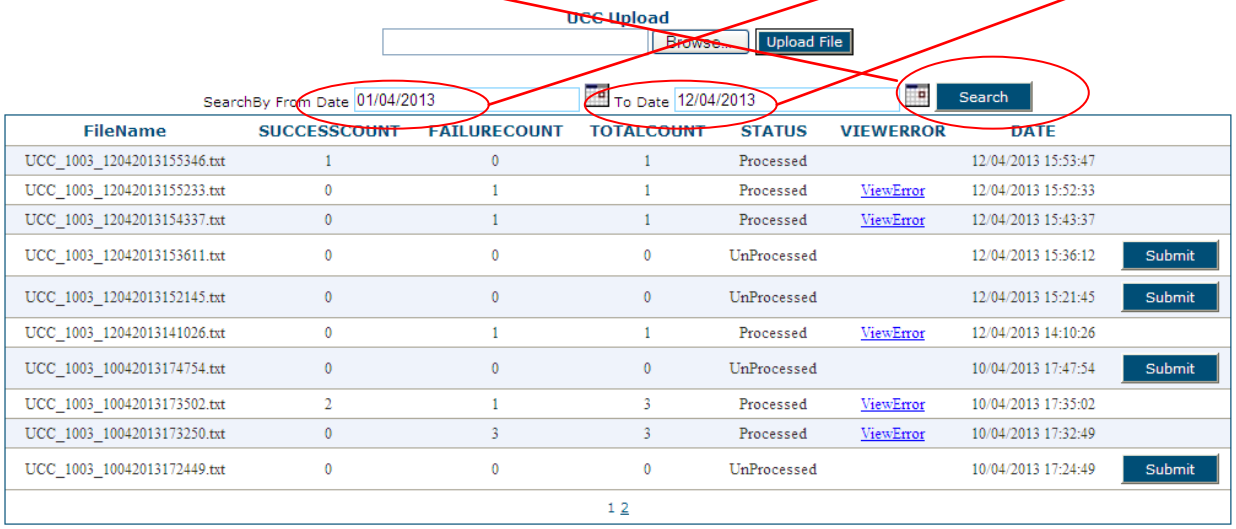


Figure 3.6

On clicking on the "Search" button, the system displays all the files along with the status and Errors, if any for the respective date.

The member can download the error file and make necessary changes are regards the file and re-upload the same to the system.

3.3 Download

Members(BAT)/Sub-BAT users are allowed to download their client details as shown in Figure 3.6.

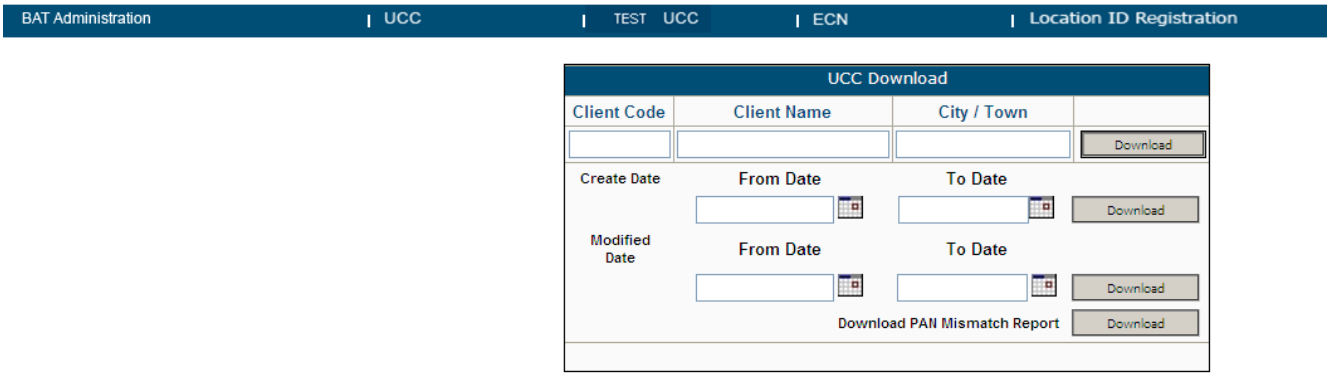


Figure 3.7

Members are allowed to download the client details based of various criteria, namely :

- Client Code
- Client Name
- City / Town
- Create Date
- Modified Date
- If no criteria is given downloads all the UCC.

Step 1 :

Select **UCC-> Download** from the main menu.

Step 2 :

Select the entity (Client Code, Client Name, City, Create Date, Modified Date) to download. When Client Code is selected, all the details related to the client code is populated. Same like Client Name and City. The system also accepts wild card search like for Client Code names starting with “M” can be downloaded same will be applicable for Client Name and City. For the Create Date and Modified Date search, the From date and To date needs to be given by the user and it will download the details related to specified period only. However, if “Download” button is clicked by not giving any criteria, then all the UCC registered under the user will be downloaded.

Step 3 :

Select the destination directory, give the file name and click on “Save” button to save the file.

3.4 Add UCC

The BAT / Sub-BAT users are allowed to add/view/modify the UCC details :

- The BAT (main member) can add/edit/modify for all the clients registered directly under him and also of his Sub-BAT users created by him for client registration.
- The Sub-BAT users can add/view/modify the UCC details for all clients registered by/under him only.

Deregistration of a UCC is not allowed.

To register a new UCC the following steps are followed :

Step 1 :

Select **UCC->Add UCC** from the main menu.

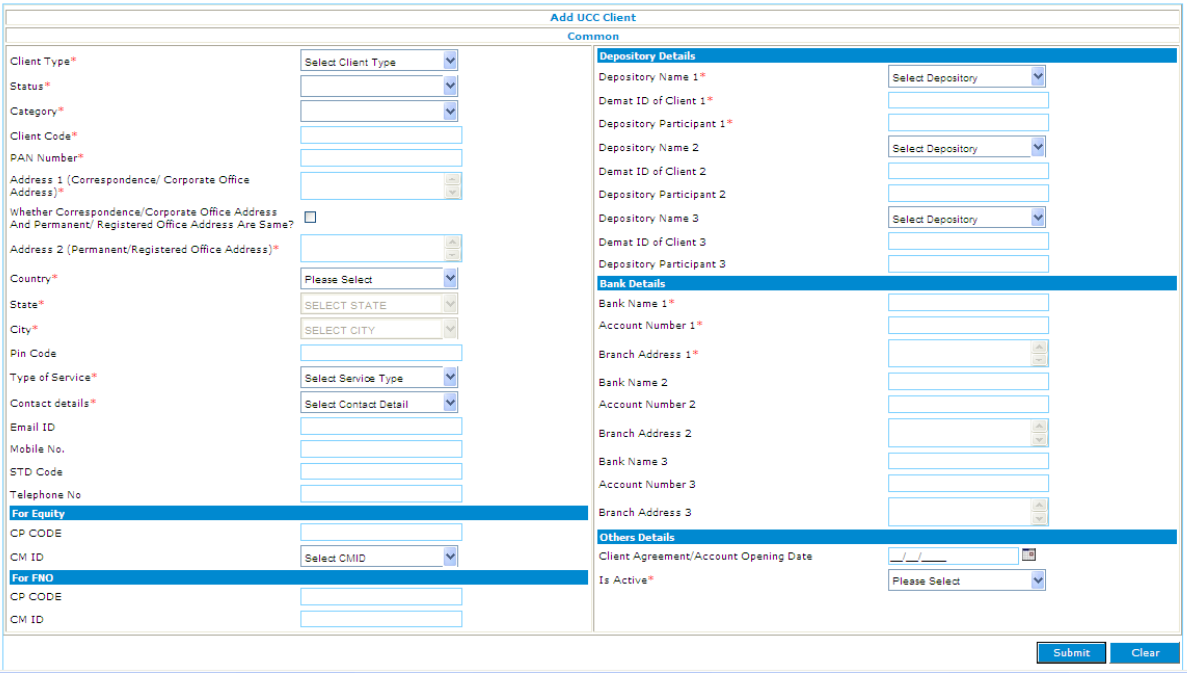


Figure 3.8

Step 2 :

Enter all the details of the clients. Note that all the fields that are mandatory are marked with an *(asterisk).

Step 3 :

Select appropriate Client Type i.e, INDIVIDUAL, NON-INDIVIDUAL or INSTITUTION

Step 4 :

Select respective Status , i.e, 'OWN','CLIENT' or 'INSTITUTION'

Step 5 :

Select appropriate Category. (Client Type, Client Status and Client Category Mapping)

Step 6 :

Enter the Client Code field. Client code is restricted to 11 digits only except. No special characters are allowed except for DOT(.),ASTERISKS(*),BACK SLASH(\), FRONT SLASH (/) and HYPEN (:)

Step 7 :

Enter all the other details as appropriate.

Step 8 :

After all the details are entered, click on **"Submit"** button to save the record. The UCC is registered and **"Client Added Successfully"** is displayed on the screen.

Step 10 :

To continue to register another UCC, proceed to Step 2.

Step 11 :

The system also provides the option of batch/bulk insertion, where by the member has to upload the batch file in the format specified below. This upload facility is the same "**Upload"** option mentioned above at Figure 3 to 3.5 except for a change in the file format.

Step 12 :

The first column in the pipe separated file indicates the "N" for new record, "M" for modified records and "I" for ignore records. Hence, when the user has to do insertion of a batch record, then a batch file in .txt format having the necessary modification with the first column of the .txt file marked as "N" is uploaded through the **UCC->Upload** option from the main menu. This file can be generated from the members back office.

3.5 Modify UCC

This option provides the user to modify certain entities of the existing client registered in the UCC system. The following steps are used to modify the records :

Step 1 :

Select **UCC->Modify UCC** option from the main menu.

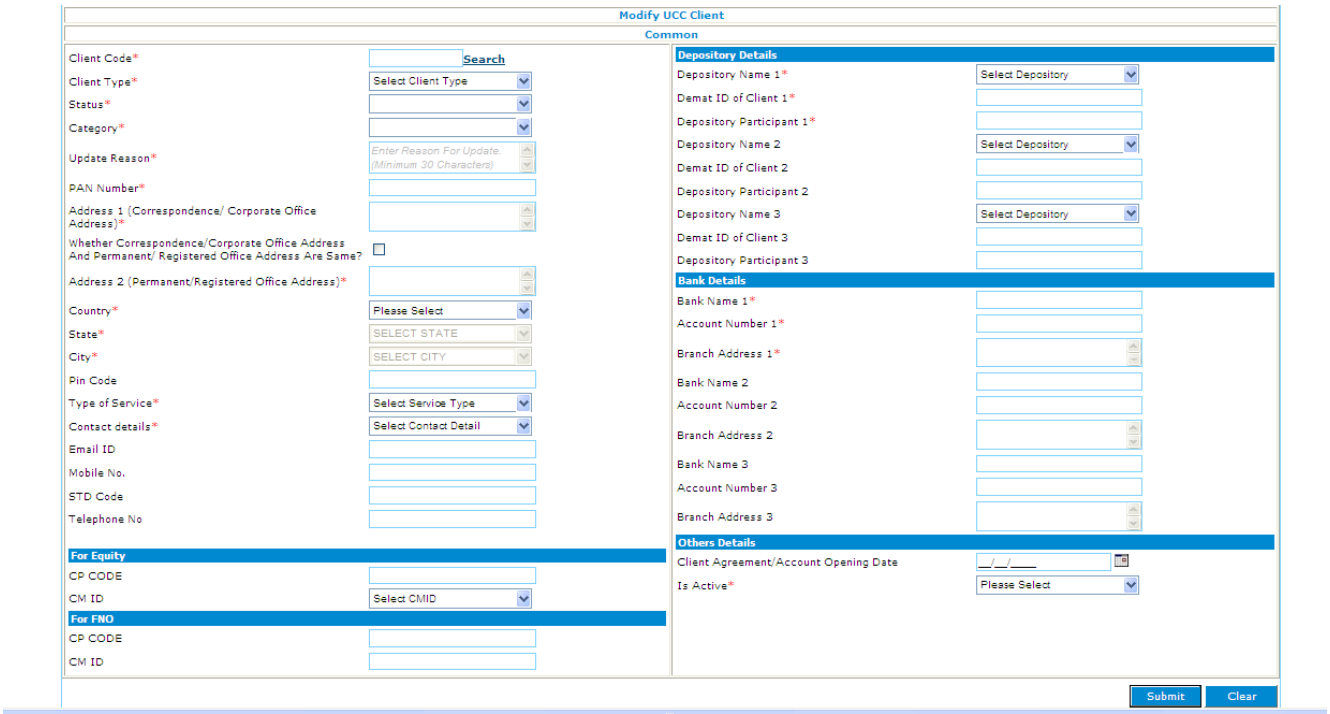


Figure 3.9

Step 2 :

Member needs to click on the 'Search' link to invoke all the client codes registered. On clicking the 'Search' button the following window pops-up as shown in Figure 3.10 below.

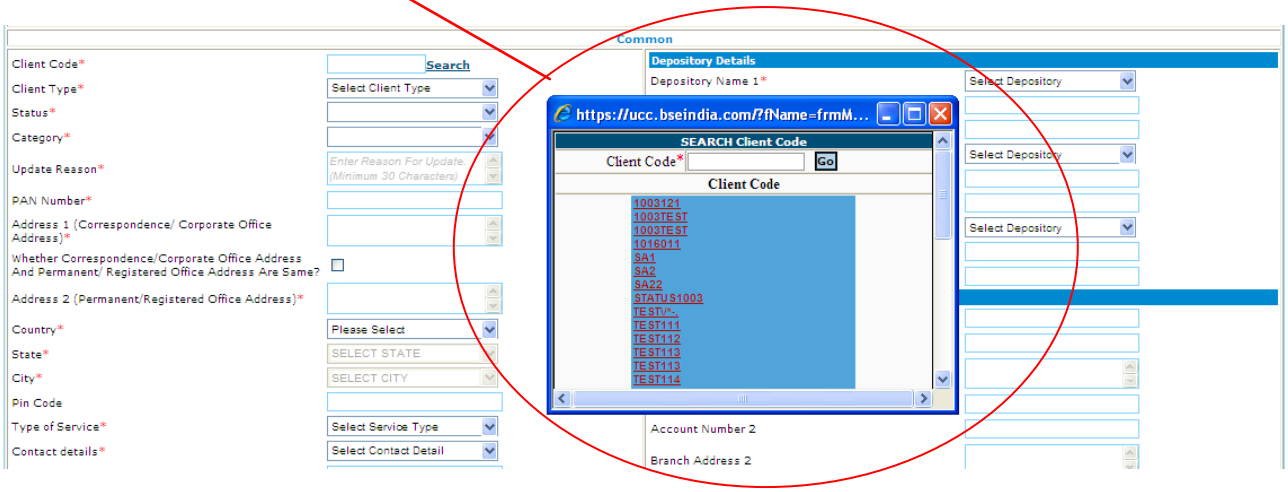


Figure 3.10

The member needs to double-click the respective client code which needs to be modified. The details are populated on the screen for the member to modify.

Step 3 :

After the necessary changes are done in the record, the user has to click on the **"Submit"** button to save the necessary changes.

Step 4 :

The system also provides the option of batch/bulk modification to the users, where by the user has to upload the batch file in the format specified below. This upload facility is the same "**Upload Option"** mentioned above at Figure 3 to 3.5 except for a change in the file format.

Step 5 :

The first column in the pipe separated file indicates the "N" for new record, "M" for modified records and "I" for ignore records. Hence, when the user has to do modification of a batch record, then a batch file in .txt format having the necessary modification with the first column of the .txt file marked as "M" is uploaded through the **UCC->Upload** option from the main menu. This file can be generated from the users back office or the users is also given the option of doing the necessary changes in a program provided by the BSE i.e., UCC Client Utility.

Back to Upload Option

4. UCC Batch Upload file format

The Input file format is given below in detail and the following information is uploaded into the system during the processing of this file:

Source	BAT – Upload UCC Records
Destination	UCC Database
File Type	.txt
No. of Fields	78
Field delimiter	| (pipe character)
File Naming Convention	Should be an .txt file (Name of the file can be any Name)
Validation	File should contain 77 | (pipes)

The file format consists of pipe separated two rows. The first row consists of general information applicable to all the client types. However, the second row will be applicable only if the user needs to enter the Director details, if any. **Hence, if the client code is of client type INDIVIDUAL and INSTITUTION then the user need not submit the second row.**

First row consists of *General Information* applicable for all client types.

Sl. No.	Field Description	Data Type	Mandatory/ Optional	Expected Values and Validations
1	New/Modify	Character(1)	M	**Values :** N=NEW M=MODIFY
2	BatUser	Alphanumeric(10)	O	Name of the BAT user who creates the client code.
3	Client Type	Character(3)	M	**Values :** I = INDIVIDUAL NI = NON-INDIVIDUAL INS = INSTITUTION
4	Client Status	Character(2)	M	**Values :** OW = OWN CL = CLIENT IN = INSTITUTION Validations : If ClientType is INDIVIDUAL then this field will only accept 'OW' and 'CL' status. If ClientType is NON-INDIVIDUAL then this field will only accept 'OW' and 'CL' status. If ClientType is INSTITUTION then this field will only accept 'IN'
5	Client Category	Character(5)	M	**As per table given below.
6	Client Code	Alphanumeric(11)	M	Following special characters are only allowed : . = DOT * = ASTERISKS \ = BACK SLASH / = FRONT SLASH - = HYPEN
7	Pan Number	Alphanumeric(10)	M	
8	Whether Politically Exposed Person	Character(1)	M	**Values :** Y = YES N = NO

				Validations : Not applicable for Client Type INSTITUTION, hence, user can leave blank in the batch upload file.
9	Permanent Address	Alphanumeric(150)	M	
10	Permanent Address same as Correspondence Address	Character(1)	M	**Values :** Y = YES N = NO
11	Correspondence Address	Alphanumeric(150)	M	If Permanent address is same as correspondence address then user needs to provide the same value entered in Correspondence Address field.
12	Country	Character(25)	M	User selects 'INDIA' and for other than Indian country user enters the Country name.
13	State	Alphanumeric(25)	M	If Country selected is 'INDIA', State-City master to be used, else user enters State name of the Country entered.
14	City	Alphanumeric(25)	M	If Country selected is 'INDIA', State-City master to be used, else user can enter City name of the State entered.
15	Pincode	Alphanumeric(10)	M/O	Mandatory if Country selected is INDIA, else Optional
16	Types Of Service	Numeric(1)	M	**Values :** 1 = SMS 2 = EMAIL 3 = SMS & EMAIL 4 = NONE
17	Contact Details	Numeric(1)	M	**Values :** 1 = TELEPHONE 2 = MOBILE 3 = BOTH
18	Email	Alphanumeric(50)	M/O	Mandatory if Type of Service is 2 & 3, else Optional
19	Mobile Number	Numeric(10)	M/O	Mandatory if Type of service is 1 & 3, Contact Details is 2 & 3, else Optional
20	STD Code	Numeric(10)	M/O	Mandatory if Contact Details is selected as 1 & 3 else Optional
21	Phone No.	Numeric(15)	M/O	Mandatory if Contact Details is 1

				& 3, else Optional
22	Equity CP Code	Alphanumeric(14)	O	
23	Equity CM ID	Numeric(5)	O	
24	FNO CP Code	Alphanumeric(14)	O	
25	FNO CM ID	Numeric(5)	O	
26	Depository Name1	Character(4)	M/O	Mandatory for INDIVIDUAL/NON-INDIVIDUALS, Optional for INSTITUTIONS.
27	Demat ID1	Alphanumeric(50)	M/O	Mandatory for INDIVIDUAL/NON-INDIVIDUALS, Optional for INSTITUTIONS.
28	Depository Participant1	Alphanumeric(50)	M/O	Mandatory for INDIVIDUAL/NON-INDIVIDUALS, Optional for INSTITUTIONS.
29	Depository Name2	Character(4)	O	
30	Demat ID 2	Alphanumeric(50)	O	
31	Depository Participant2	Alphanumeric(50)	O	
32	Depository Name3	Character(4)	O	
33	Demat ID 3	Alphanumeric(50)	O	
34	Depository Participant3	Alphanumeric(50)	O	
35	Bank Name1	Character(50)	M/O	Mandatory for INDIVIDUAL/NON-INDIVIDUALS, Optional for INSTITUTIONS.
36	Account No1	Alphanumeric(20)	M/O	Mandatory for INDIVIDUAL/NON-INDIVIDUALS, Optional for INSTITUTIONS.
37	Branch Address1	Alphanumeric(150)	M/O	Mandatory for INDIVIDUAL/NON-INDIVIDUALS, Optional for INSTITUTIONS.
38	Bank Name2	Character(50)	O	
39	Account No2	Alphanumeric(20)	O	
40	Branch Address2	Alphanumeric(150)	O	
41	Bank Name3	Character(50)	O	
42	Account No3	Alphanumeric(20)	O	
43	Branch Address3	Alphanumeric(150)	O	
44	Client Agreement Date / Account Opening Date	Alphanumeric(10)	O	Format “DD/MM/YYYY” Future date not allowed
45	Provide Details For INCOME/NETWORTH/BOTH	Numeric(1)	M	**Values :** (drop down) 1 = INCOME 2 = NETWORTH 3 = BOTH Validations : Mandatory for Client Type for INDIVIDUAL and NON-INDIVIDUAL. However for Client

				Type INSTITUTION, the user can keep blank or '0' in the batch upload file.
46	Income	Numeric(1)	M/O	Mandatory for Client Types INDIVIDUALS and NON-INDIVIDUALS and if user selects 'Provide Details for' as '1'(INCOME) and '3'(BOTH), else Optional **Values :** 1 = Below Rs 1 Lac 2 = 1-5 Lac 3 = 5-10 Lac 4 = 10-25 Lac 5 = 25 Lacs to 1 Crore 6 = > 1 Crore As it is not applicable for Client Type INSTITUTION, the user can keep blank or '0' in the batch upload file.
47	Income Date	Alphanumeric(10)	M/O	Mandatory for Client Types INDIVIDUALS and NON-INDIVIDUALS and if user selects 'Provide Details for' as '1'(INCOME) and '3'(BOTH), else Optional Format "DD/MM/YYYY" Future date not allowed.
48	Networth	Numeric(14)	M/O	Mandatory for Client Types INDIVIDUALS and NON-INDIVIDUALS and if user selects 'Provide Details for' as '2'(NETWORTH) and '3'(BOTH), else Optional (*Networth not older than 1 year should be reported*)
49	Networth Date	Alphanumeric(10)	M/O	Mandatory for Client Types INDIVIDUALS and NON-INDIVIDUALS and if user selects 'Provide Details for' as '2'(NETWORTH) and '3'(BOTH), else Optional Format "DD/MM/YYYY" Future date not allowed.
50	Is Active	Character(1)	M	**Values :** Y = YES N = NO

51	Reason for modifying Status and Category	Character(100)	M/O	Mandatory if the users modifies Client Status/Client Category, else Optional.
52	First Name	Alphanumeric(50)	O	
53	Middle Name	Alphanumeric(50)	O	
54	Last Name	Alphanumeric(50)	M/O	Mandatory for Client Type INDIVUDALS, else Optional
55	Aadhar Card No	Numeric(12)	O	
56	Date Of Birth	Alphanumeric(10)	M/O	Mandatory for client category INDIVIDUALS, else Optional Format "DD/MM/YYYY" Future date not allowed.
57	Client Name	Alphanumeric(150)	M/O	Mandatory for Client Type NON-INDIVIDUALS/INSTITUTIONS, else Optional
58	Registration No	Alphanumeric(50)	O	
59	Registration Authority	Character(50)	O	
60	Registration Date	Alphanumeric(10)	M/O	Mandatory for Client Type NON-INDIVIDUALS, else Optional Format "DD/MM/YYYY" Future date not allowed.
61	Place Of Registration	Character(50)	O	
62	Whether Corporate CIN?	Character(1)	M	Mandatory for NON-INDIVIDUAL and INSTITUTIONAL Client (For category 'BCO' by default 'Y') **Values : (drop down)** Y = YES N = NO
63	CIN No	Alphanumeric(21)	M/O	Mandatory for Client Category 'BCO' or if user select 'Whether Corporate CIN?' as 'Y', else Optional
64	No Of Directors	Numeric(2)	M/O	Mandatory for client category 'BCO' or if user selects 'Whether Corporate CIN? as 'Y' (YES) in case of client type NON-INDIVIDUAL , then user may give maximum 20 directors details of which 2 director details are compulsory, else Optional. **Example 1** : if the user does not want to provide additional director details other than the 2 compulsory director details, this column can be kept blank, the

				system will automatically take it as '2'. **Example 2** : if the user wants to provide 2 additional directors details in addition to the 2 compulsory director details, the user needs to provide '4' in this column.
65	Partners_Karta UID	Alphanumeric(10)	O	If the client category is HUF/PF, then user may fill this field
66	Partners_Co-Parcener UID	Alphanumeric(10)	O	If the client category is HUF/PF, then user may fill this field
67	Contact Person Name1	Character(50)	M	Mandatory if Client Type is NON-INDIVIDUAL
68	Contact Person Designation1	Character(50)	M	Mandatory if Client Type is NON-INDIVIDUAL
69	Contact Person Address1	Alphanumeric(150)	M	Mandatory if Client Type is NON-INDIVIDUAL
70	Contact Person Email1	Alphanumeric (50)	O	
71	Contact Person PAN1	Alphanumeric(10)	M	Mandatory if Client Type is NON-INDIVIDUAL
72	Contact Person Tel/Mob No1	Numeric(10)	M	Mandatory if Client Type is NON-INDIVIDUAL
73	Contact Person Name2	Character(50)	M	Mandatory if Client Type is NON-INDIVIDUAL
74	Contact Person Designation2	Character(50)	M	Mandatory if Client Type is NON-INDIVIDUAL
75	Contact Person Address2	Alphanumeric(150)	M	Mandatory if Client Type is NON-INDIVIDUAL
76	Contact Person Email2	Alphanumeric (50)	O	
77	Contact Person PAN2	Alphanumeric(10)	M	Mandatory if Client Type is NON-INDIVIDUAL
78	Contact Person Tel/Mob No2	Numeric(10)	M	Mandatory if Client Type is NON-INDIVIDUAL

The second row format is mandatory only for client codes with client category as 'BCO' or if the user selects "Whether Corporate CIN ?" as 'Y' (YES) in case of NON-INDIVIDUAL client type, else not required.

The user needs to provide a maximum of 20 directors details of which 2 director details are compulsory in the below mentioned format along with the first row format given above. User should ensure that the 'No. of Directors' field entered in the first row should match with the number of rows below the general row.

Sl. No.	Field Description	Data Type	Mandatory/ Optional	Expected Values and Validations
1	ND/DD	Character(2)	**M**	**Values :** ND=New Director DD=Delete Director
2	Client Code	Alphanumeric(11)	M	
3	Name of Director	Character(50)	M	Mandatory for client category 'BCO' or if user selects 'Whether Corporate CIN? as 'Y' (YES) in case of client type NON-INDIVIDUAL
4	DIN	Numeric(10)	M	Mandatory for client category 'BCO' or if user selects 'Whether Corporate CIN? as 'Y' (YES) in case of client type NON-INDIVIDUAL
5	Whether Foreign Resident ?	Character(1)	M	Mandatory for client category 'BCO' or if user selects 'Whether Corporate CIN? as 'Y' (YES) in case of client type NON-INDIVIDUAL **Values :** Y = YES N = NO
6	Director PanNo	Alphanumeric(10)	M/O	Mandatory if user selects 'Whether Foreign Resident?' as 'No'.

**Table showing list of Client Categories as per their Client Status and Client Type.

Client Type	Client Status	Client Category	Category Description
INDIVIDUAL	CLIENT & OWN	I	INDIVIDUALS
INDIVIDUAL	CLIENT	NRI	NON-RESIDENT INDIANS
INDIVIDUAL	CLIENT	HNI	HIGH NETWORTH INDIVIDUALS
INDIVIDUAL	CLIENT	FN	FOREIGN NATIONALS
INDIVIDUAL	CLIENT	PMSI	PORTFOLIO MANGT SERVICES - INDIVIDUAL
INDIVIDUAL	CLIENT	QFII	QUALIFIED FOREIGN INVEST. - INDIVIDUAL
NON-INDIVIDUAL	CLIENT & OWN	BCO	BODY CORPORATES
NON-INDIVIDUAL	CLIENT & OWN	O	OTHERS
NON-INDIVIDUAL	CLIENT & OWN	PF	PARTNERSHIP FIRMS
NON-INDIVIDUAL	CLIENT & OWN	LLP	LIMITED LIABILITY PARTNERSHIPS
NON-INDIVIDUAL	CLIENT	PMSN	PORTFOLIO MANGT SERVICES - NON-INDIVIDUAL
NON-INDIVIDUAL	CLIENT	QFIN	QUALIFIED FOREIGN INVEST. - NON-INDIVIDUAL
NON-INDIVIDUAL	CLIENT	AOP	ASSOCIATION OF PERSONS
NON-INDIVIDUAL	CLIENT	FVCF	FOREIGN VENTURE CAPITAL FUNDS
NON-INDIVIDUAL	CLIENT	HUF	HINDU UNDIVIDED FAMILY
NON-INDIVIDUAL	CLIENT	MB	MERCHANT BANKERS
NON-INDIVIDUAL	CLIENT	T	TRUST
NON-INDIVIDUAL	CLIENT	OCB	OVERSEAS CORPORATE BODY
NON-INDIVIDUAL	CLIENT	BOI	BODY OF INDIVIDUALS
NON-INDIVIDUAL	CLIENT	NGO	NON-GOVERNMENT ORGANISATIONS
NON-INDIVIDUAL	CLIENT	VCF	VENTURE CAPITAL FUNDS
NON-INDIVIDUAL	CLIENT	DEF	DEFENSE ESTABLISHMENTS
NON-INDIVIDUAL	CLIENT	SOC	SOCIETY
NON-INDIVIDUAL	CLIENT	CH	CHARITIES
INSTITUTION	INSTITUTION	B	BANKS
INSTITUTION	INSTITUTION	FII	FOREIGN INSTITUTIONAL INVESTORS
INSTITUTION	INSTITUTION	DFI	DOMESTIC FINANCIAL INSTITUTIONS
INSTITUTION	INSTITUTION	INS	INSURANCE
INSTITUTION	INSTITUTION	MF	MUTUAL FUNDS
INSTITUTION	INSTITUTION	NPS	NEW PENSION SCHEMES

FILE FORMAT WITH HEADERS

First Row (General)

NEW/MODIFY|BATUSER|CLIENTTYPE|CLIENTSTATUS| CLIENTCATEGORY| CLIENTCODE | PANNUMBER | WHETHERPOLITICALLYEXPOSEDPERSON|PERMANENTADDRESS |PERMANENTADDRESSSAME AS CORRESPONDENCE ADDRESS|CORRESPONDENCE ADDRESS|COUNTRY |STATE |CITY |PINCODE|TYPES OF SERVICE|CONTACT DETAILS | EMAIL |MOBILE NUMBER |STD CODE|PHONE NO|EQUITY CP CODE |EQUITY CM ID|FNO CP CODE |FNO CM ID | DEPOSITORY NAME1| DEMAT ID1 |DEPOSITORY PARTICIPANT1| DEPOSITORY NAME2 |DEMAT ID 2 |
DEPOSITORY PARTICIPANT2|DEPOSITORY NAME3 |DEMAT ID 3 |DEPOSITORY PARTICIPANT3| BANK NAME1 | ACCOUNT NO1 |BRANCH ADDRESS1|BANK NAME2 |ACCOUNT NO2 |BRANCH ADDRESS2| BANK NAME3 |ACCOUNT NO3 |BRANCH ADDRESS3| CLIENT AGREEMENT DATE| PROVIDE DETAILS FOR INCOME/NETWORTH/BOTH|INCOME | INCOME DATE| NETWORTH |NETWORTH DATE |IS ACTIVE |REASON|FIRST NAME| MIDDLE NAME| LAST NAME | AADHAR CARD NO |DATE OF BIRTH |CLIENT NAME |REGISTRATION NO| REGISTRATION AUTHORITY|
REGISTRATION DATE |PLACE OF REGISTRATION| WHETHER CORPORATE CIN?|CIN NO |NO OF DIRECTORS| PARTNERS_KARTA UID| PARTNERS-CO-PARCENER UID |CONTACT PERSON NAME1 |CONTACT PERSON DESIGNATION1| CONTACT PERSON ADDRESS1 |CONTACT PERSON EMAIL1 |CONTACT PERSON PAN1 | CONTACT PERSON TEL/MOB NO1| CONTACT PERSON NAME2 |CONTACT PERSON DESIGNATION2| CONTACT PERSON ADDRESS2 |CONTACT PERSON EMAIL2 |CONTACT PERSON PAN2 |CONTACT PERSON TEL/MOB NO2

Second Row (Director details)

NEW DIRECTOR/DELETE DIRECTOR |Client Code |Name of Director |DIN |Whether Foreign Resident ?|Director PanNo

Sample data File for data for general record.

N||NI|CL|MB|CLIENTCODE1|ARMPF9567D|N|PERMANENTADDRESS|1|CORRESPONDENCEADDRESS|INDIA|MAHARASHTRA|MUMBAI|400089|1|1|name@gmail.com|9992030001|022|22721234|||||NSDL|IN123451 12345678|ICICI|||||||VIJAYABANK|2121212|QEUEUUEUA|||||||1|1|12/02/2013|||Y||FIRSTNAME|MIDDLENAME|LASTNAME||20/12/1981|CLIENTNAME|||20/12/1981 | | Y|CINNO123455566| | | | CONTACTPERSON1| CONTACTDESGN1| CONTACTADDRESS1|CONTACTEMAIL1@gmail.com|AAAAA1234A| 9985451258| CONTACTPERSON2| CONTACTDESGN2| CONTACTADDRESS2|CONTACTEMAIL2@gmail.com|ABCDE1234A|8542158745

Sample data file for data for NON-INDIVIDUAL where the user needs to give director details

N||NI|CL|BCO|CLIENT2|ARMPF9567D|N|fdfafa|1|FASFFA|INDIA|MAHARASHTRA|MUMBAI|400089|1|1|pavanapunja@gmail.com|9920424546|022|5289634|||||NSDL| IN12345112345678| fa232| | | | | | VIJAYABANK| 2121212| QDHHDHDH| | | | | | | 1| 1| 12/02/2013| || Y|| PAVANA| PRASAD| PUNJA| |20/12/1981| PRASAD123| ||20/12/1981||Y|2313HJD|2|||||||||||||
ND|CLIENT2|PRAKASH KRISHNAN|1111211|N|ASDFR1234D
ND|CLIENT2|RAJESH VERMA|444421|N|ASDFC1234D

Purpose of this Document

This document is the User Manual for UCC system. It is comprehensive usage guide for UCC System and describes all features and interactions available to the user in UCC System. The document covers all the functional areas in the System.

This User Manual document has the detailed module wise documents embedded within, covering all the areas listed above.